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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/886,942

Filing Date June 21, 2001

First Named Inventor Juha Punnonen

Group Art Unit Unassigned

Examiner Name Unassigned

Total Number of Pages in This Submission

Attorney Docket Number 02-031910US

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ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
☐ Amendment / Response
☐ After Final
☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☒ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/ Incomplete Application
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
☐ Petition to Convert to a Provisional Application
☐ Power of Attorney, Revocation Change of Correspondence Address
☐ Terminal Disclaimer
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- ☐ After Allowance Communication to Group
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to Group (Appeal Notice Brief Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Additional Enclosure(s) (please identify below)
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Cited References

Authorization to Charge Deposit Account

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Remarks

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Firm
or
Individual name

Jonathan Alan Quine Reg. No. 41261, The Law Offices of Jonathan Alan Quine

Signature

Jonathan Alan Quine

Date

11-6-01

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: November 6, 2001

Typed or printed name Amelia Groth

Signature

Date



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On November 6, 2001

The Law Offices of Jonathan Alan Quine

By _____

Amelia Groth

Attorney Docket No. 02-031910US

Client Ref. No. 0179.210US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Juha Punnonen, *et al.*

Application No.: 09/886,942

Filed: June 21, 2001

For: NOVEL CHIMERIC PROMOTERS

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR § 1.97 and
§ 1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

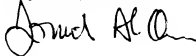
The references cited on attached form PTO-1449 are being called to the
attention of the Examiner. Copies of the references are enclosed. It is respectfully requested
that the cited information be expressly considered during the prosecution of this application,
and the references be made of record therein and appear among the "references cited" on any
patent to issue therefrom.

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As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 50-0893. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Jonathan Alan Quine
Reg. No. 41,261

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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/886,942
	Filing Date	June 21, 2001
	First Named Inventor	Juha Punnonen
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
	Attorney Docket Number	02-031910US

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (if known)			
	AA	5,512,463		Stemmer	04-30-1996	
	AB	5,514,588		Varadaraj	05-07-1996	
	AC	5,605,793		Stemmer	02-25-1997	
	AD	5,763,239		Short et al.	06-09-1998	
	AE	5,789,228		Lam et al.	08-04-1998	
	AF	5,811,238		Stemmer et al.	09-22-1998	
	AG	5,814,473		Warren et al.	09-29-1998	
	AH	5,824,469		Horwitz et al.	10-20-1998	
	AI	5,830,696		Short	11-03-1998	
	AJ	5,830,721		Stemmer et al.	11-03-1998	
	AK	5,834,252		Stemmer et al.	11-10-1998	
	AL	5,837,458		Minushull et al.	11-17-1998	
	AM	5,866,363		Piecznik	02-02-1999	
	AN	5,876,997		Kretz	03-02-1999	
	AO	5,925,749		Mathur, et al.	07-20-1999	
	AP	5,928,905		Stemmer, et al.	07-27-1999	
	AQ	5,939,250		Short, Jay M.	08-17-1999	
	AR	5,939,300		Robertson, et al.	08-17-1999	
	AS	5,942,430		Robertson, et al.	08-24-1999	
	AT	5,948,666		Callen, et al.	09-07-1999	
	AU	5,958,672		Short, Jay M.	09-28-1999	
	AV	5,958,751		Murphy, et al.	09-28-1999	
	AW	5,962,258		Mathur, et al.	10-05-1999	
	AX	5,962,283		Warren et al.	10-05-1999	
	AY	5,965,408		Short, Jay M.	10-12-1999	
	AZ	5,985,646		Murphy, et al.	11-16-1999	
	BA	6,001,574		Short et al.	12-14-1999	
Examiner Signature					Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Substitute for form 1449A-PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/886,942
	Filing Date	June 21, 2001
	First Named Inventor	Juha Punnonen
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
Attorney Docket Number	02-031910US	

BB	6,004,788	Short	12-21-1999
BC	6,030,779	Short	02-29-2000
BD	6,054,267	Short	04-25-2000
BE	6,057,103	Short	05-02-2000
BF	6,096,548	Stemmer	08-01-2000
BG	6,117,679	Stemmer	09-12-2000
BH	6,132,970	Stemmer	10-17-2000
BI	6,165,793	Stemmer	12-26-2000
BJ	6,168,919	Short	01-02-2001
BK	6,171,820	Short	01-09-2001
BL	6,174,673	Short, et al.	01-16-2001
BM	6,180,406	Stemmer	01-30-2001
BN	6,238,884	Short et al.	05-29-2001

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FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No	Foreign Patent Document			Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)			
	BO	WO	97/07205		Novo Nordisk A/S	02-27-1997	
	BP	WO	97/20078		Affymax Technologies	06-05-1997	
	BQ	WO	97/25410		Novo Nordisk A/S	07-17-1997	
	BR	WO	97/35957		Maxygen, Inc.	10-02-1997	
	BS	WO	97/35966		Maxygen, Inc.	10-02-1997	
	BT	WO	97/44361		Recombinant Biocatalysis Inc.	11-27-1997	
	BU	WO	97/48416		Recombinant Biocatalysis, Inc.	12-24-1997	
	BV	WO	97/48717		Recombinant Biocatalysis Inc	12-24-1997	
	BW	WO	97/48794		Recombinant Biocatalysis Inc	12-24-1997	
	BX	WO	98/00526		Recombinant	01-08-1998	

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Modified) PTO/SB/08A-B (10-96)
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Substantive for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
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	Filing Date	June 21, 2001
	First Named Inventor	Juha Punnonen
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
Attorney Docket Number	02-031910US	

				Biocatalysis Inc			
BY	WO	98/01581		Recombinant Biocatalysis Inc	01-15-1998		
BZ	WO	98/13485		Maxygen, Inc.	04-02-1998		
CA	WO	98/13487		Maxygen, Inc.	04-02-1998		
CB	WO	98/24799		Diversa Corp.	06-11-1998		
CC	WO	98/27230		Maxygen, Inc.	06-25-1998		
CD	WO	98/28416		Novo Nordisk A/S	07-02-1998		
CE	WO	98/31837		Maxygen, Inc.	07-23-1998		
CF	WO	98/36080		The Dow Chemical Company	08-20-1998		
CG	WO	98/41622		Novo Nordisk A/S	09-24-1998		
CH	WO	98/41623		Novo Nordisk A/S	09-24-1998		
CI	WO	98/41653		Novo Nordisk A/S	09-24-1998		
CJ	WO	98/42832		California Institute of Technology	10-01-1998		
CK	WO	98/48034		Diversa Corp.	10-29-1998		
CL	WO	98/58085		Diversa Corp.	12-23-1998		
CM	WO	99/07837		Diversa Corp.	02-19-1999		
CN	WO	99/08539		Diversa Corp.	02-25-1999		
CO	WO	99/10472		Diversa Corp.	03-04-1999		
CP	WO	99/10539		Diversa Corp.	03-04-1999		
CQ	WO	99/19518		Diversa Corp.	04-22-1999		
CR	EP	0911396A2		Maxygen, Inc.	04-28-1999		
CS	WO	99/21979		Maxygen, Inc.	05-06-1999		
CT	EP	0911396A3		Maxygen, Inc.	05-06-1999		
CU	WO	99/23107		Maxygen, Inc.	05-14-1999		
CV	WO	99/23236		Diversa Corp.	05-14-1999		
CW	WO	99/29902		California Institute of Technology et al.	06-17-1999		

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(modified) PTO/SB/08A-B (10-96)
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Substitute for form 1449, PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
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	First Named Inventor	Juha Punnonen
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
Attorney Docket Number		02-031910US

	CX	EP	0934999A1	Maxygen, Inc.	08-11-1999
	CY	WO	99/41368	Maxygen, Inc.	08-19-1999
	CZ	WO	99/41369	Maxygen, Inc.	08-19-1999
	DA	WO	99/41383	Maxygen, Inc.	08-19-1999
	DB	WO	99/41402	Maxygen, Inc.	08-19-1999
	DC	WO	99/45154	Diversa Corp.	09-10-1999
	DD	WO	99/57128	Maxygen, Inc.	11-11-1999
	DE	WO	99/65927	Maxygen, Inc.	12-23-1999
	DF	WO	00/42560	Maxygen, Inc.	07-20-2000
	DG	WO	00/42561	Maxygen, Inc.	07-20-2000
	DH	WO	00/53744	Diversa Corporation	09-14-2000
	DI	WO	00/58517	Diversa Corporation	10-05-2000

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
DJ		Chang, C., et al. (1999) "Evolution of a cytokine using DNA family shuffling." <u>Nature Biotechnology</u> 17:793-797.	
DK		Christians, F.C. et al., (1999) "Directed evolution of thymidine kinase for AZT phosphorylation using DNA family shuffling." <u>Nature Biotechnology</u> 17:259-264.	
DL		Coco et al., (2001) "DNA shuffling method for generating highly recombined genes and evolved enzymes" <u>Nature Biotechnology</u> , vol. 19 pp. 354-359	
DM		Crameri et al., (1993) "10(20)-Fold aptamer library amplification without gel purification," <u>Nuc. Acids Res.</u> 21(18):4410.	
DN		Crameri, A. & Stemmer W.P.C. (1995) "Combinatorial multiple cassette mutagenesis creates all the permutations of mutant and wildtype cassettes." <u>Biotechniques</u> 18:194-195.	
DO		Crameri, A. et al. (1996) "Improved green fluorescent protein by molecular evolution using DNA shuffling." <u>Nature Biotechnology</u> 14:315-319.	
DP		Crameri, A. et al. (1996) "Construction and evolution of antibody-phage libraries by DNA shuffling." <u>Nature Medicine</u> 2:100-103.	
DQ		Crameri, A. et al., (1997) "Molecular evolution of an arsenate detoxification pathway by DNA shuffling." <u>Nature Biotechnology</u> 15:436-438	

Examiner Signature	Date Considered
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	Group Art Unit	Unassigned
	Examiner Name	Unassigned
	Attorney Docket Number	02-031910US

DR	Cramer, A. et al., (1998) "DNA shuffling of a family of genes from diverse species accelerates directed evolution." <i>Nature</i> 391:288-291.
DS	Gates, C.M. et al., (1996) "Affinity selective isolation of ligands from peptide libraries through display on a lac repressor 'headpiece dimer'." <i>Journal of Molecular Biology</i> 255:373-386.
DT	Minshull, J., Stemmer, W.P.C. (1999) "Protein evolution by molecular breeding." <i>Current Opinion in Chemical Biology</i> 3:284-290.
DU	Ness, J. et al., (1999) "DNA shuffling of subgenomic sequences of subtilisin." <i>Nature Biotechnology</i> 17:893-896.
DV	Patten, P.A. et al., (1997) "Application of DNA Shuffling to Pharmaceuticals and Vaccines." <i>Current Opinion in Biotechnology</i> 8:724-733.
DW	Pelletier, Joelle N., (2001) "A Rachitt for our toolbox" <i>Nature Biotechnology</i> vol. 19, p. 314-315
DX	Stemmer, W.P.C. (1994) "DNA Shuffling by random fragmentation and reassembly: In vitro recombination for molecular evolution." <i>PNAS</i> 91:10751
DY	Stemmer, W.P.C. (1994) "Rapid evolution of a protein in vitro by DNA shuffling." <i>Nature</i> 370:389-391.
DZ	Stemmer, W.P.C. (1995) "The Evolution of Molecular Computation." <i>Science</i> 270:1510
EA	Stemmer, W.P.C. (1995) "Searching Sequence Space." <i>BioTechnology</i> 13:549-553.
EB	Stemmer, W.P.C. (1996) "Sexual PCR and Assembly PCR." In: <i>The Encyclopedia of Molecular Biology</i> . VCH Publishers, New York. pp. 447-457.
EC	Stemmer, W.P.C. & Soong, N.W. (1999) "Molecular breeding of viruses for targeting and other clinical properties." <i>Tumor Targeting</i> 4:59-62.
ED	Zhang, J. et al., (1997) "Directed evolution of an effective fucosidase from a galactosidase by DNA shuffling and screening." <i>Proceedings of the National Academy of Sciences, USA</i> 94:4504-4509.

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